



**Part III: Applicant Information**

Dam ID # \_\_\_\_\_ (from Part I)

- *If an applicant is a corporation, limited liability company, limited partnership, limited liability partnership, or a statutory trust, it must be registered with the Secretary of State. If applicable, the applicant's name shall be stated **exactly** as it is registered with the Secretary of State. Please note, for those entities registered with the Secretary of State, the registered name will be the name used by DEEP. This information can be accessed at the Secretary of State's database (CONCORD). ([www.concord-sots.ct.gov/CONCORD/index.jsp](http://www.concord-sots.ct.gov/CONCORD/index.jsp))*
- *If an applicant is an individual, provide the legal name (include suffix) in the following format: First Name; Middle Initial; Last Name; Suffix (Jr, Sr., II, III, etc.).*
- *If there are any changes or corrections to your company/facility or individual mailing or billing address or contact information, please contact the Dam Safety Program at [DEEP.DamSafety@ct.gov](mailto:DEEP.DamSafety@ct.gov).*

**1. Applicant Name:**

Mailing Address:

City/Town: State: Zip Code:

Business Phone: ext.:

Contact Person: Phone: ext.

\*E-mail:

a) Applicant Type (check one):

individual       federal agency       state agency       municipality       tribal

\*business entity (\*If a business entity, complete i through iii):

i) Check type:  corporation     limited liability company     limited partnership  
 limited liability partnership     statutory trust     Other: \_\_\_\_\_

ii) Provide Secretary of the State business ID #: \_\_\_\_\_ This information can be accessed at the Secretary of State's database (CONCORD). ([www.concord-sots.ct.gov/CONCORD/index.jsp](http://www.concord-sots.ct.gov/CONCORD/index.jsp))

iii)  Check here if your business is **NOT** registered with the Secretary of State's office.

b) Applicant's interest in property at which the proposed activity is to be located:

site owner       option holder       lessee  
 easement holder     operator       other (specify): \_\_\_\_\_

Check if any co-applicants. If so, attach additional sheet(s) with the required information as requested above.

**2. Billing contact, if different than the applicant.**

Name:

Mailing Address:

City/Town: State: Zip Code:

Business Phone: ext.:

Contact Person: Phone: ext.

\*E-mail:

**3. Primary contact for departmental correspondence and inquiries, if different than the applicant.**

Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

\*E-mail:

**4. Attorney or other representative, if applicable.**

Firm Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Attorney:

Phone:

ext.

\*E-mail:

**5. Property Owner, if different than the applicant.**

Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

\*E-mail:

**6. Engineer(s) or other consultant(s) employed or retained to assist in preparing the application or in designing or constructing the activity.**

Name:

Mailing Address:

City/Town:

State:

Zip Code:

Business Phone:

ext.:

Contact Person:

Phone:

ext.

\*E-mail:

Service Provided:

\*By providing this e-mail address you are agreeing to receive official correspondence from DEEP, at this electronic address, concerning the subject application. Please remember to check your security settings to be sure you can receive e-mails from "ct.gov" addresses. Also, please notify DEEP if your e-mail address changes.

Check here if additional sheets are necessary, and label and attach them to this sheet.

1. SITE NAME AND LOCATION

a. Name of Site (include any known alternate names as well):

Street Address or Location Description:

City/Town:

State:

Zip Code:

b. Parcel Location/Tax Assessor's Reference: Map Block Lot

Check here if the property lies on more than one parcel. If so, attach additional sheet(s) with the required information as requested above.

c. Easement(s): If the project is located on a utility/transportation right-of-way or easement and/or requires access through easements, has that access been approved for this project?  Yes  No

Explain.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If applicable, include a map as Attachment C outlining the limits and dimensions of the easement(s).

d. Latitude and Longitude of the approximate "center of the site" in *degrees, minutes, and seconds*:

Latitude:

Longitude:

Method of determination (check one):

GPS  USGS Map  Other (please specify):

If a USGS Map was used, provide the quadrangle name:

e. Drainage Basin number(s) wherein the proposed activity will take place:

2. COASTAL BOUNDARY: Is the activity which is the subject of this application located within the coastal boundary as delineated on DEEP approved coastal boundary maps?  Yes  No

If Yes, and this application is for a new authorization or a modification of an existing authorization where the physical footprint of the subject activity is modified, you must submit a [Coastal Consistency Review Form](#) (DEEP-APP-004) with your application as Attachment J.

Information on the coastal boundary may be available at the following locations:

a. [www.cteco.uconn.edu/map\\_catalog.asp](http://www.cteco.uconn.edu/map_catalog.asp)

(Select the town and then select coastal boundary. If the town is not within the coastal boundary, you will not be able to select the coastal boundary map.)

b. The "Coastal Boundary Map" available at DEEP Maps and Publications (860-424-3555).

c. The local town hall.

**3. NATURAL DIVERSITY DATA BASE (NDDB) - ENDANGERED OR THREATENED SPECIES:** According to the most current "Natural Diversity Data Base Areas Maps", will the activity which is the subject of this application, including all impacted areas, be located within an area identified as, or otherwise known to be, a habitat for state listed endangered, threatened or special concern species? (Impacted areas include, but are not limited to the following: limits of the dam, impoundment area, downstream flow areas, access roads, mobilization areas, and any other areas within the vicinity of the proposed work.)

Yes       No      Date of Map:

If Yes, complete and submit a [Request for NDDB State Listed Species Review Form](#) (DEEP-APP-007) to the address specified on the form, **prior** to submitting this application. Please note NDDB review generally takes 4 to 6 weeks and may require the applicant to produce additional documentation, such as ecological surveys, which must be completed prior to submitting this permit application. A copy of the NDDB Determination response letter that has not expired **must** be submitted with this completed application as Attachment K. Include a copy of any mitigation measures developed for this activity and approved by NDDB. Be aware that you must renew your NDDB Determination if it expires before project work commences.

For more information visit the DEEP website at [Endangered-Species-ReviewData-Requests](#) or contact the NDDB at [deep.nddbrequest@ct.gov](mailto:deep.nddbrequest@ct.gov).

**4. AQUIFER PROTECTION AREAS:** Is the site located within a mapped Level A or Level B [Aquifer Protection Area](#), as defined in CGS section 22a-354a through 22a-354bb?

Yes       No      If **Yes**, check one:  Level A **or**  Level B

If **Level A**, are any of the [regulated activities](#), as defined in RCSA section 22a-354i-1(34), conducted on this site?       Yes       No

If **Yes**, and your business is **not** already registered with the Aquifer Protection Program, contact [local aquifer protection agent](#) or DEEP to take appropriate actions.

For more information on the Aquifer Protection Area Program visit the DEEP website at [Aquifer Protection](#) or contact the program at [DEEP.AquiferProtection@ct.gov](mailto:DEEP.AquiferProtection@ct.gov).

**5. CONSERVATION OR PRESERVATION RESTRICTION:** Is the property subject to a conservation or preservation restriction?       Yes       No

If Yes, proof of written notice of this application to the holder of such restriction or a letter from the holder of such restriction verifying that this application is in compliance with the terms of the restriction, must be submitted as Attachment Q.

**6. FLOOD MANAGEMENT:** Is this project receiving funding through a state agency or Federal funding that is being administered by a state agency?  Yes       No

If Yes, please provide the following information as Attachment P:

- A brief supporting document of the available funds, the name of the funding source, and the name of the agency which will be administering the funds.
- Name of Contact within Agency
- Contact Information

**7. STREAMFLOW REQUIREMENTS:** Is this dam associated with a water supply reservoir?

Yes       No

If Yes, submit a completed [Request for Determination of Stream Flow Release Requirement for Dam Safety Permits](#) (DEEP-WPMD-APP-201) as Attachment M.

**8. SEDIMENT OR DAM EMBANKMENT MATERIAL REMOVAL OR RELOCATION**

Is this a project a full or partial dam removal project?  Yes  No

If Yes, does the project involve sediment or dam embankment material that will be mobilized, removed, re-used, stored, or relocated as part of the proposed work?  Yes  No

If Yes, provide, as Attachment N, a determination from DEEP's [Water Quality](#) section and Remediation Division (860-424-3705) stating that the sediment or dam embankment material management plan is acceptable.

Please note that sampling data from any material (sediment and/or embankment material, as applicable) that needs to be managed may be required for DEEP's Water Quality Section and Remediation Division determinations. "Management" of material includes, but is not limited to the following: containment; storage; left in-place behind a partially removed dam; treated; or, relocated on or off-site.

**9. PRE-APPLICATION MEETING(S):**

It is strongly encouraged that you request a pre-application meeting before submitting this application. You may schedule a pre-application meeting by submitting a [pre-application questionnaire](#) to the address indicated on the form.

If a pre-application meeting was held concerning the subject activity, provide the following:

Pre-Application Meeting Date(s): \_\_\_\_\_ DEEP Staff Member(s) in attendance: \_\_\_\_\_

Brief summary of the meeting: \_\_\_\_\_

**8. OTHER PERMITS:** List any federal, state or local permits or certificates that have already been issued or are pending for the site or for the proposed activity:

| Type or Nature of Permit | Permit No. | Issuing Authority | Date Issued | Expiration Date | Permittee Name |
|--------------------------|------------|-------------------|-------------|-----------------|----------------|
|                          |            |                   |             |                 |                |
|                          |            |                   |             |                 |                |
|                          |            |                   |             |                 |                |
|                          |            |                   |             |                 |                |

**Part V: Dam Specific Activity Information**

Dam ID # \_\_\_\_ (from Part I)

|   |   |  |                 |
|---|---|--|-----------------|
| 1. a. Name of watercourse affected by dam:<br>b. Name of dam (include any known alternate names as well):<br>c. Name of impoundment:                        |   |  |                 |
| 2. Type of activity (check one):<br><input type="checkbox"/> New construction <input type="checkbox"/> Repair/Modification <input type="checkbox"/> Removal |   |  |                 |
| <b>3. Description of the uses of the dam and impoundment:</b>   |   |  |                 |
| a. Existing:  |   | b. Proposed, if different than existing: |                 |
|   | <b>Measurement</b>  | <b>Existing</b>                          | <b>Proposed</b> |
| <b>4. Characteristics of impoundment:</b>   | <b>(choose one)</b>   |  |                 |
| a. Surface area   | acres   |  |                 |
| b. Drainage area  | <input type="checkbox"/> acre or <input type="checkbox"/> square miles    |  |                 |
| c. Volume at spillway height  | <input type="checkbox"/> acre-feet or <input type="checkbox"/> cubic feet |  |                 |
| d. Volume at top of dam   | <input type="checkbox"/> acre-feet or <input type="checkbox"/> cubic feet |  |                 |
| <b>5. Characteristics of dam:</b>   |   |  |                 |
| a. Maximum height at centerline   | feet  |  |                 |
| b. Total length   | feet  |  |                 |
| c. Description of <b>select type of dam</b>   |   |  |                 |
| <b>6. Characteristics of spillway(s);<br/>If more than one spillway exists at the site please list characteristics of each on a separate sheet.</b>         |   |  |                 |
| Number of spillways   |   |  |                 |
| a. Type <b>select type of spillway</b>  |   |  |                 |
| b. Description of material  |   |  |                 |
| c. Length   | feet  |  |                 |
| d. Height above stream bed  | feet  |  |                 |
| e. Amount of freeboard  | feet  |  |                 |
| f. Water surface elevation  | feet NAVD88   |  |                 |
| g. Historic water surface elevation   | feet NAVD88   |  |                 |
| h. Historic water surface elevation maintained until which year   | year  |  |                 |

**Part V: Dam Specific Activity Information (continued)**

Dam ID # \_\_\_\_\_ (from Part I)

| 7. Hydraulic factors:   | Measurement  | Existing | Proposed |
|---|--|----------|----------|
| a. Spillway design storm  | return frequency; e.g., 100 yr., ½ PMF, PMF, Other |          |          |
| b. Design storm duration  | hours  |          |          |
| c. Capacity at design storm elevation   | cfs  |          |          |
| d. Capacity at top of dam   | cfs  |          |          |
| e. Peak inflow  | cfs  |          |          |
| f. Peak outflow   | cfs  |          |          |
| g. Impoundment elevation at peak outflow  | feet NAVD88  |          |          |
| <p><b>8. Use of fill material:</b></p> <p>Will fill material be placed in a watercourse or in wetlands?      <input type="checkbox"/> Yes      <input type="checkbox"/> No</p> <p>If Yes, the volume to be placed is:      cubic yards and the area to be filled is:      acres.</p> <p><b>9. Rate of flow</b> to be passed on an uninterrupted instantaneous basis through the dam during filling or refilling is:      cfs.</p> <p><b>10. If the impoundment will be drawn down</b>, will potable water supply wells be adversely affected by such drawdown?      <input type="checkbox"/> Yes      <input type="checkbox"/> No</p> <p>If Yes, provide a plan for potable water supply as Attachment O.</p> |  |          |          |

## Part VI: Supporting Documents

Dam ID # \_\_\_\_\_ (from Part I)

Check the applicable box below for each attachment being submitted with this application form. The Dam Safety permit application process requires preliminary coordination and input from other agencies/groups. Consultations with other agencies must occur prior to application submission.

When submitting any supporting documents, please label the documents as indicated in this part (e.g., Attachment A, etc.) and be sure to include the applicant's name as indicated on this application form.

Attachment A: **Notice of Permit Application**

Refer to the Public Notice Requirements for Permit Applications (DEEP-INST-005A). The public notice of application must be published prior to submitting an application, as required in CGS section 22a-6g. A copy of the published notice of application and the completed [Certification of Notice Form](#) (DEEP-APP-005A) must be included as Attachment A to this application as required in CGS section 22a-6f. Your application will not be processed if Attachment A is not included.

Attachment B: **Executive Summary**

Summarize the information contained in the complete application which must include a description of the proposed regulated activities and a synopsis of the environmental and engineering analyses of the impact of such activities. Include a list of the titles of all plans, drawings, reports, studies, appendices, or other documentation which are attached as part of the application.

Attachment C: **Location Map**

An 8 1/2" x 11" Location Map at an appropriate scale to clearly identify the location of the regulated activity with the project site outlined or pinpointed.

If applicable, this attachment should also include a separate aerial map clearly outlining the limits and dimensions of any easement(s) required for access to the project site.

Attachment D: **Plan Sheets and Drawings**, signed and stamped by a Licensed Professional Engineer.

Attachment E: **Engineering Documentation**

Attachment F: Flood Contingency Plan

Attachment G: Alternatives Assessment

Attachment H: [Applicant Compliance Information Form](#) (DEEP-APP-002)

Attachment I: [Applicant Background Information Form](#) (DEEP-APP-008)

Attachment J: [Coastal Consistency Review Form](#) (DEEP-APP-004), if applicable.

Attachment K: **Natural Diversity Data Base (NDDB)**-Determination Letter, if applicable.

A copy of the NDDB Determination response letter that has not expired, if applicable. Include a copy of any mitigation measures developed for this activity and approved by NDDB. Do *not* submit any NDDB Preliminary Site Assessments with your application. Be aware that you must renew your NDDB Determination if it expires before project work commences.

## Part VI: Supporting Documents (continued)

Dam ID # \_\_\_\_\_ (from Part I)

- Attachment L: **Fisheries Consultation Form**  
Submit a completed [Fisheries Consultation Form \(DEEP-FISH-APP-007\)](#).
- Attachment M: **Streamflow Release Determination**  
If the project dam is associated with a water supply reservoir, coordinate with DEEP's Water Quantity section **prior to this application submittal**. Submit a completed [Request for Determination of Stream Flow Release Requirement for Dam Safety Permits](#) (DEEP-WMPD-APP-201).
- Attachment N: **Sediment Removal Management Plan**  
If the site includes sediment removal and/or relocation, coordinate with DEEP's Water Quality section and Remediation Division **prior to this application submittal**. Provide the determination from DEEP's [Water Quality](#) section **and** Remediation Division (860-424-3705) stating that the sediment or dam embankment material management plan is acceptable.
- Attachment O: **Potable Water Supply Plan**  
If applicable, submit a contingency plan that addresses potential impacts regarding the yield of residential wells directly affected by an authorized drawdown. This plan should include a public outreach meeting and correspondence with the local health director.
- Attachment P: **Flood Management Documentation**
- Attachment Q: **Wetlands Impact Documentation**  
If your project requires a 401 Water Quality Certification or a Pre-Construction Notification, complete and submit this attachment.
- Attachment R: Soil Scientist Report
- Attachment S: Environmental Report
- Attachment T: **Other information:** Any other information the applicant deems relevant or is required by DEEP.

**Part VII: Qualified Professional Engineer Certification**

**Dam ID # \_\_\_\_\_ (from Part I)**

The following certification must be signed and sealed by a professional engineer licensed to practice in Connecticut and submitted with this application. An application will be considered insufficient without this certification. In addition, each Engineering document submitted as part of this application (including, but not limited to plans, specifications, analysis report, etc.) must be signed and stamped by a licensed professional engineer.

|  |             |
|--|-------------|
| <p>"I certify that in my professional judgement, each engineering document submitted as part of this Individual Dam Safety permit application contains information that is true, accurate and complete to the best of my knowledge and belief.</p> <p>This certification is based on my review of the engineering documentation within this application.</p> <p>I understand that a false statement made in the submitted information may, pursuant to section 22a-6 of the Connecticut General Statutes (CGS), be punishable as a criminal offense under section 53a-157b of the CGS, and may also be punishable under section 22a-438 of the CGS."</p> |             |
| Signature of Qualified Professional Engineer   | Date        |
| Printed Name of Qualified Professional Engineer  | P.E. Number |
| <p>Affix P.E. Stamp Here</p> <div style="border: 1px solid black; width: 200px; height: 150px; margin: 0 auto;"></div>   |             |

**Part VIII: Application Certification**

**Dam ID # \_\_\_\_\_ (from Part I)**

The applicant *and all* individuals responsible for actually preparing the application or supporting documentation must sign this part. An application will be considered insufficient unless **all** required signatures are provided. You must include signatures of any person preparing any report or parts thereof filed in support of this application (i.e., professional engineers, surveyors, soil scientists, biologists, environmental and other consultants, etc.).

|   |                                |
|---|--------------------------------|
| <p>“I have personally examined and am familiar with the information submitted in this document and all attachments thereto, and I certify that based on reasonable investigation, including my inquiry of the individuals responsible for obtaining the information, the submitted information is true, accurate and complete to the best of my knowledge and belief.</p> <p>I understand that a false statement in the submitted information may be punishable as a criminal offense, in accordance with section 22a-6 of the Connecticut General Statutes, pursuant to section 53a-157b of the Connecticut General Statutes, and in accordance with any other applicable statute.</p> <p>I certify that this application has been prepared using complete and accurate forms as prescribed by the commissioner without alteration of the text.</p> <p>I certify that I have complied with all notice requirements as listed in section 22a-6g of the Connecticut General Statutes.”</p> |                                |
| _____<br>Signature of Applicant   | _____<br>Date                  |
| _____<br>Printed Name of Applicant  | _____<br>Title (if applicable) |
| _____<br>Signature of Preparer (if different than above)  | _____<br>Date                  |
| _____<br>Printed Name of Preparer   | _____<br>Title (if applicable) |
| <p><input type="checkbox"/> Check here if additional signatures are required.<br/>If so, please reproduce this sheet and attach signed copies to this sheet.</p>  |                                |

## Part IX: Application Submission

Dam ID # \_\_\_\_\_ (from Part I)

Please remember to publish notice of the permit application **prior** to submitting your completed application to DEEP. Send a copy of the published notice to the chief elected official of the municipality in which the regulated activity is proposed, and provide DEEP with a copy of the published notice, as described in the instructions, attached to a completed [Certification of Notice Form](#) (DEEP-APP-005A) as Attachment A to this application.

### **How to Submit a Dam Safety Permit Application**

1. Submit this completed Permit Application Form (without attachments) via email to [DEEP.CentralPermits@ct.gov](mailto:DEEP.CentralPermits@ct.gov), and copy [DEEP.DamSafety@ct.gov](mailto:DEEP.DamSafety@ct.gov). You will receive a Permit Application # when it is processed.
  - If there is a fee please indicate in the email if you would like to pay by e-check, and provide the name and phone number of the person that will have bank information (checking account #, routing #) available when we call to process your payment. Do not send your bank information in the email or application. Credit cards are not accepted at this time. If you do not wish to pay via e-check, you will receive an invoice in the mail, and you can mail in a paper check.
  - If you are sending an application form via email, **please do not send us a duplicate paper copy**. (If you send duplicate copies, it will result in the assignment of multiple Permit Application #s). In your email, you may ask us to verify that we received your application form successfully. The email subject heading should say "Electronic Permit Application Form: Dam Safety Program". You will receive a Permit Application # from [DEEP.CentralPermits@ct.gov](mailto:DEEP.CentralPermits@ct.gov).
2. Send an additional email to [DEEP.DamSafety@ct.gov](mailto:DEEP.DamSafety@ct.gov) to submit the remaining parts of the permit application (include all applicable attachments), and reference the Permit Application # in the email subject heading.
  - The remaining parts of the application (attachments) must be received by the DEEP Dam Safety Program within 30 days of submitting the Permit Application Form in Step #1. If the attachments are too large to email, please use our FTP site <https://portal.ct.gov/-/media/DEEP/water/dams/DamSafetyFTPFACTSHEETpdf.pdf>
  - If the remaining parts of the permit application and attachments are not received within 30 days, the application will be deemed insufficient.
4. If you are unable to submit this Permit Application Form electronically, please mail this completed form and all supporting documents to the following address:

CENTRAL PERMIT PROCESSING UNIT  
DEPARTMENT OF ENERGY AND ENVIRONMENTAL PROTECTION  
79 ELM STREET  
HARTFORD, CT 06106-5127